

## **PRE-CONSTRUCTION REQUIREMENTS**

### **63-03.0100 PROJECT PLANS**

The District Construction Office will be furnished with the following sets of plans to be distributed as follows:

1. District Office - One set of record plans.
2. Project Engineer - five sets of roadway and cross-sections; three sets of roadway plans; eight sets of structure plans.
3. On all other projects, such as signing, major surfacing, safety, etc., one complete set of record plans will be furnished by the District Office with seven complete sets to the Project Engineer.

In all cases, the Project Engineer will retain one complete set of plans as his office plans and as many additional sets or partial sets as he may deem necessary to perform his work. The remaining plans will be distributed to the contractor in whatever manner satisfactory to both parties.

For larger projects reduced plans may be obtained from the Division of Highway Design, Plan Reproduction Center on the 1<sup>st</sup> floor of the Transportation Office Building in Frankfort at or near the time of the letting.

**.0110 Original Roadway Plan** - The original plans will be turned over to the Project Engineer early in the life of the project. Eventually, this set of plans will become the "As-Built" plans. In addition, the Project Engineer will utilize these plans to run copies of the plan sheets for construction revisions, permits, etc. This is an important set of plans and care must be taken to preserve them from damage or loss.

The Project Engineer may request additional copies of the original plans by either contacting the Division of Construction Field Liaison or Division of Highway Design, Plan Reproduction Center at (502) 564-3598. If the Contractor desires additional sets of plans beyond those furnished by the Project Engineer, they may be obtained by contacting the Plan Reproduction Center. However, they will be billed at the current rate for the additional copies requested.

**.0120 Original Structure Plans** - Original structure plans are retained by the Division of Bridges and filed under the Drawing Number. They are not sent out to the Project Engineer. Any reference to specific structure plans, whether written or verbal, should include the project number, type structure, station number and the Drawing Number.

**.0130 Record Plans** - Two sets of record plans, referred to as official plans, are prepared for each project. One set is retained on file in the Division of Construction and the other set is filed at the District Construction Office. A copy of every

construction revision will be inserted in the record plans in each office. The record plans will be kept on file in each office until such time as the applicable project is paid off. At this time, they will be removed from the active plan files and identified for future reference and destroyed.

**.0140 As-Built Plans-** As-Built Plans are prepared by the Project Engineer for submission with the Final Estimate. Eventually, they are received in the Division of Construction with the final estimate. After the final estimate is reviewed by Central Office Construction, the original as-built plans are transferred to the Division of Highway Design microfilm section to be reviewed and transferred to the Department of Library and Archives for microfilming. The Department of Library and Archives will store the original as-built plans according to their record and retention schedule.

### **63-03.0200 PLAN CHECKING**

The Project Engineer, prior to the beginning of actual construction, should thoroughly check the plans and become familiar with the project in general. The typical roadway section as shown on the plans should be compared to the roadway section as shown on the cross-section sheets. If there is a variation between the two, other than noted differences, there may be an error in the quantities of excavation or surfacing. Any variation might lead to an error in the location, size, and length of a structure.

The Project Engineer should also check plan dimensions and quantities of all structural plans. All critical elevations, flow lines, lengths, clearances, etc., should be checked. Any discrepancies or apparent errors should be brought to the attention of the District Construction Office.

Plan quantities of surfacing materials should always be thoroughly checked prior to beginning of construction. Do not overlook the fact that road intersections, curve widening, mailbox turn-outs, and private entrances, if applicable, must be included in the area to be surfaced. If the plan quantities are found to be insufficient, the Project Engineer should so inform the District Construction Office to reconcile the discrepancy.

### **63-03.0300 FIELD CHECK OF STRUCTURES**

The Project Engineer shall make a field check of all bridges and culverts prior to the contractor beginning any work on the structure aside from staking. These checks should be done as early as possible with any recommended changes or discrepancies brought to the attention of the District Construction Office.

### **63-03.0400 STAKING & FIELD BOOKS**

The Project Engineer should begin staking the project at the earliest possible date. If the project has contract staking, the Project Engineer should have his staking substantially complete by the time of the Pre-Construction Conference and be ready to turn the project over to the contractor. Refer to Section 201 of the Standard Specifications for details on what is required by

the Project Engineer when staking is listed as a bid item and when it is not.

The Project Engineer or surveying party chief responsible for the field work should also begin preparation of project field books as soon as possible after he is assigned the project and before staking is begun. Refer to Chapter Four on Construction Surveying in this manual for further information

#### **63-03.0500 PERSONNEL**

The Project Engineer should review his manpower and make plans for any foreseeable problems. Job training should be instituted as needed for issues related to shortages in necessary experience or knowledge. If a shortage of personnel is anticipated the Project Engineer should bring it to the attention of the District Construction Office at the earliest possible date.

#### **63-03.0600 VEHICLES**

The Project Engineer must anticipate crew vehicle requirements and keep the District Construction Office advised of this situation. Additional requests for vehicles needs to be submitted to the District Construction Office. Vehicles are distributed by the Division of Fleet Management in Frankfort.

#### **63-03.0700 CONSTRUCTION SIGNING**

The Project Engineer should inspect the project soon after receipt of plans to determine signing requirements. Any recommendations concerning construction signs should be presented at the pre-construction conference or to the contractor as requested. For further information, refer to Section 63-03.1000 on Traffic Control.

#### **63-03.0800 ENCROACHMENTS ON THE STATE'S RIGHT-OF-WAY**

All right-of-way as shown on the plans is to be free of encroachments unless stipulated in the deed. If encroachments such as fences, buildings, signs, etc., are found on the right-of-way, the Project Engineer must advise the property of the encroachments. The right-of-way should be staked in the area of the encroachment sufficiently to present a clear picture to the property owner. The Project Engineer should always be accompanied by a crew member when informing a property owner of an encroachment. The Project Engineer must record their actions, any witnesses, and the results in their project diary, and also keep the District Construction Office fully informed of progress.

If the encroachment is not immediately removed, the Project Engineer should notify the District Executive Director who will immediately consult the district legal staff. The legal staff will contact the property owner and advise them of the necessity of removing the encroachment. At this time, the District Executive Director will also present a written legal notice requesting removal of the encroachment (Exhibit 63-3-1). Upon expiration of the time specified in the legal notice, the encroachment area is to be field checked for compliance. If the encroachment is not removed, the District Executive Director will undertake the necessary action to have the encroachment removed.

**63-03.0900 SITEMANAGER DIARY**

The Project Engineer's SiteManger diary entry is a very important document whose accuracy and completeness will ultimately affect the settlement of claims, liquidated damages, liability claims and suits, and the disposition of disputed quantities. It is essential that the diary be kept absolutely factual, current and complete. Refer to Section 12 of the SiteManger Construction Training Manual for all details relating to the diary.

The Project Engineer will create a Diary for each day an item of work is recorded on an inspectors daily work report for all contract types. A Diary will also be created daily (including weekends and holidays) to charge/not charge a day of work on Working Day Contracts.

The Project Engineer shall review each inspector's daily work report and record pertinent information related to any disputed items of work, delays, discrepancies found in the plans, differences of opinion between Department personnel and the contractor. It is very desirable that emphasis be placed on recording any information that might have bearing on claims and disputes, either existing or anticipated.

**63-03.1000 TRAFFIC CONTROL**

The provisions and requirements for protection of the public by the contractor through furnishing, installing and maintaining barricades, signs, pavement markers, and other traffic control devices are set out in some detail in Section 112 of the Standard Specifications. The Project Engineer shall see that the contractor provides for the safe movement of traffic, but he should avoid issuing instructions which will shift the burden of responsibility to the State. The Project Engineer shall call the contractor's attention to any questionable situation that exists, and instruct him to take the necessary action to properly provide protection and warning to the traveling public. The Project Engineer shall keep a careful record of all traffic control inspections made, their results, and any instructions to the contractor.

Section 112 also provides that all traffic control devices shall conform to the Manual on Uniform Traffic Control Devices for Streets and Highways, current edition.

Reflective materials for construction signs, barricades, and delineation shall conform to Section 830 of the Standard Specifications.

Prior to the pre-construction conference, the Project Engineer should review the project plans and proposal carefully with emphasis on any Special Notes and/or Drawings pertaining to the traffic control plan. He should also inspect the project in the field and make notes of any unusual or unanticipated traffic related problems that exist.

At the pre-construction conference the contractor will be expected to outline his order of work and review his proposed method for handling traffic. He will also be expected to designate supervisory personnel that will be responsible for his traffic control and available to the Project Engineer twenty-four hours a day, seven days a week, throughout the life of the project whether work is active or not.

The pre-construction conference will provide an opportunity to discuss project traffic control and possibly improve traffic service over that originally proposed. Any changes requested by the contractor solely for the benefit of his operations would have to provide equal traffic service in order to receive consideration.

The District Traffic Engineer must be invited to attend the pre-construction conference. This will assist in determining the Department's traffic control responsibilities since the contractor's responsibility ends and the Department's begins 1500 feet outside the project limits. These limits may be adjusted through special provisions. The procedure for handling existing signage belonging to the Department but that may be in conflict with the construction work, should be discussed and agreed on with the District Traffic Engineer.

Just prior to beginning construction, the contractor will erect the necessary signs and traffic control devices to protect the traveling public. The Project Engineer must inspect and agree to these signs and devices before work is permitted to start. Traffic control can be a phased operation and only the devices which are necessary for immediate operations need to be installed. The Project Engineer must see that the public has adequate warning of construction work at each work site but must not permit the premature erection of signs which would only mislead or confuse the traveler. Signs that are erected but which are not applicable to existing conditions will be covered until such time as they become applicable to the situation. Changing signing requirements, as the construction progresses, may cause conflicts with existing Department signs when the road is being built under traffic. When this occurs, the Project Engineer should advise the District Traffic Engineer so that the signs may be adjusted to meet current conditions.

During the period of active construction on the project, the contractor must keep his signs and other traffic control devices current with the existing traffic conditions, clean, and in good state of repair. The Project Engineer should see that the traffic control devices are inspected every day and frequently at night. Since familiarity with the job often dulls one's realization of problem areas, the Project Engineer is encouraged to seek the opinion of others relative to the effectiveness of the traffic control.

In accordance with Section 112 of the Standard Specifications, the contractor's responsibility for the maintenance of barricades, signs, and lights will not cease until the project has been accepted.

### **63-03.1100 WORK ON THE RAILROAD RIGHT-OF-WAY**

Section 107.18 (E) of the Standard Specifications presents provisions for the contractor to obtain protective public liability insurance with regard to working on railroad right-of-way.

- .1110 Insurance** - This liability insurance is required for any work within railroad right-of-way regardless of whether this requirement is noted in the proposal or inadvertently omitted from the proposal. The insurance policy should be received by the Department prior to issuance of the work order.

The Project Engineer should review each proposal involving work on railroad right-of-way and insure that the railroad protective insurance is a contract requirement. If the project involves work on railroad right-of-way, or if there is any doubt, and if there is no requirement for this insurance in the proposal, the Project Engineer should notify the District Construction Office who should immediately notify the Division of Construction.

- .1120 Railroad Flagging** - Projects requiring the contractor to work over adjoining railroads must require that the railroad provide flagging at such time that the work could endanger the trains. Sometimes the contractor is required to reimburse the railroad for this cost, which is an incidental cost in the contract, and other times the state pays the railroad for the flagging costs. The project proposal will normally specify which requirement applies to the contract.

The Project Engineer should check the project bid proposal for all projects involving work over or immediately adjacent to railroads and verify that railroad flagging is required. In the event flagging is not a requirement and the contractor is required to work over or adjacent to a railroad, the Project Engineer shall advise the District Construction Office who shall immediately notify the Division of Construction.

#### **63-03.1200 PRE-CONSTRUCTION CONFERENCE**

As soon as possible, after a project has been awarded and preferably, after the work order has been issued, the District Construction Office should arrange a conference with the contractor and other interested parties to review construction details, proposed schedules, etc.

Before the meeting, the Project Engineer should study the plans and any special provisions or notes and make a field inspection of the project so that he will be well acquainted with requirements and existing conditions.

In the interest of arranging the meeting at a time most convenient to everybody, it is suggested that the District Construction Office contact the principal parties as to their availability and preference by telephone after which, formal notification will be made by letter.

- .1210 Letter of Notification** - The letter of notification should be written to the Prime Contractor with copies distributed to all concerned parties, as hereinafter indicated. In this letter, the contractor should be notified of items on the agenda as well as any specific problems or contract requirements which require documentation or submittals at the meeting. In addition, the Prime Contractor should be requested to bring any subcontractors of the project to the meeting.

Copies of the letter of notification will be sent to the following:

- A. FHWA (if applicable)
- B. All utility companies involved
- C. Municipal and/or County Engineers (if applicable)



- D. Railroad (if applicable)
- D. Other specialized or interested parties as deemed necessary

Email notification of the letter will be sent to the following:

- A. District Executive Director
- B. Director, Division of Construction
- C. Division of Construction Procurement
  - 1. EEO (if applicable)
  - 2. Wage Compliance
  - 3. Training (if applicable)
- D. Division of Maintenance
- E. Division of Materials
- F. District Personnel
  - 1. Utility Agent (if utilities are involved)
  - 2. District Materials Engineer
  - 3. District Traffic Engineer
  - 4. District Maintenance Engineer

**.1220 Record of Meeting** - Minutes should always be taken of the Pre-Construction Conference and a record made of those in attendance and who they represented. The proceedings shall be tape recorded with supplemental notes taken by the District Construction Office. The original tape becomes a permanent verbal record of the meeting and should be retained by the District Construction Office until the project files are closed out. A written record of the meeting should be prepared in letter form to the Director, Division of Construction, with copies sent to all participants, the District Executive Director's Office, the FHWA, if applicable, and the project file.

**.1230 Utilities** - Notices should be sent to all utility companies having utility adjustments to be made and those which have already relocated their facilities particularly if these facilities remain within project limits. Every effort should be made to afford the contractor as much information as possible relative to the location of and timetable for relocating any utilities or if the utilities have already been moved, the location of the new facilities as well as the old, provided they were abandoned and not removed.

In the event that high-pressure gas lines, telephone trunk lines, railroads, or other utilities of a critical nature are located within project limits, the representatives of these companies should be asked at the meeting to give the name, address, telephone number and other pertinent information of their nearest responsible representative.

The District Utility Agent can be a great help in making arrangements for the utility companies to attend the meeting, introducing the representatives at the meeting and, in general, providing background information necessary to understand the overall situation relative to utilities within project limits.

It is suggested that those items affecting utilities be discussed immediately following the contractor's presentation of his plan of operation and progress schedule. The utility companies may then be excused if they do not wish to remain for the detailed discussion of the contract work.

If it is found that the contractor's schedule conflicts with the removal or relocation of any utilities on the project, an effort should be made to revise the schedules of the utility company, the contractor, or both in a manner satisfactory to all and most advantageous to the work involved.

- .1231 Before You Dig** - The contractor shall be advised at every preconstruction conference that it is the Contractor's responsibility to ensure that all utilities are marked and not disturbed by his operations including lines owned or managed by the Department. The Contractor should be made aware of the B.U.D (before you dig) service at 1-800-752-6007. They should be informed that not all companies are part of this system and that the County Clerk's office can assist them in contacting other utilities companies.
- .1250 Subjects to be Discussed** - The following topics should be used in preparing an agenda for the pre-construction meeting.
- A. Prime contractor and principal personnel
  - B. Project contract time
    - 1. Completion Date
    - 2. Procedure for assessment of time
    - 3. Proposed plan of operations
    - 4. Progress schedule for the entire project
  - C. Construction revisions
  - D. Employee and public safety
  - E. Erosion and Pollution Control Requirements
    - 1. BMP
    - 2. Notice of Intent
    - 3. Spill Prevention Plan (if applicable)
    - 4. Other Environmental Issues
  - E. Project Staking
  - F. Construction Signing & Traffic Control
  - G. Labor Compliance Provisions
    - 1. Submission of Payrolls
    - 2. Necessary Posters
    - 3. EEO
    - 4. Trainees
    - 6. Minimum Wages Requirements
  - H. Materials
    - 1. Notification of Material Sources
    - 2. Material sampling procedures
    - 3. List of Suppliers



- I. Excess Material or Borrow Sites
  - 1. Permits requirements
  - 2. Archeological Survey
  - 3. Property Owner Agreement
- J. Sub-Contracts
- K. Equipment Rental/Lease Agreements
- L. Contractor Evaluation Form
- M. Claims procedures
  - 1. Notice of Changed Condition/Disagreement form TC 63-32, Exhibit 63-02-15
  - 2. Discussion of Process (Section 105.13 Standard Specifications)
- N. Work On or Over Railroad Right-of-Way
- O. Utility Issues
- P. Project Specific/Plan Issues

This list is not all inclusive of the topics that should be covered for a particular project. Refer to Section 108.02 of the Standard Specifications for a detailed description on submittals that are required at the Pre-Construction Conference.

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## ***TABLE OF EXHIBITS***

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### **CHAPTER THREE**

#### **TITLE**

#### **EXHIBIT NUMBER**

Legal Notice - Unauthorized Encroachment on  
State-Owned Right-of-Way TC 99-14

63-3-1

## LEGAL NOTICE

\_\_\_\_\_ Kentucky

\_\_\_\_\_  
(Month/Day/Year)

TO: \_\_\_\_\_  
Name

\_\_\_\_\_  
Address

\_\_\_\_\_  
City State Zip Code

Unauthorized Encroachment on State-Owned Right-of-Way \_\_\_\_\_ County,

Project No. \_\_\_\_\_ Road.

The \_\_\_\_\_  
Type of Encroachment

located \_\_\_\_\_ miles from \_\_\_\_\_

which you have placed, or caused to be placed \_\_\_\_\_ feet within and on state-owned right-of-way constitutes an encroachment in violation of KRS 177.103 through KRS 177.106.

In accordance with KRS 177.106 you are hereby notified to immediately remove the above-mentioned encroachment. Failure to comply with this notice within \_\_\_\_\_ time will make it necessary for the Transportation Cabinet to cause said encroachment to be removed and then to collect the cost thereof from you or to take other appropriate legal action.

\_\_\_\_\_  
Chief District Engineer

BY: \_\_\_\_\_

I hereby certify that the foregoing notice was served

by \_\_\_\_\_

a copy of same to \_\_\_\_\_

at the above address on this \_\_\_\_\_

day of \_\_\_\_\_, 20\_\_\_\_\_.